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APPLICATION NO.	FILING DATE	FIRST NAMED INVENTOR	ATTORNEY DOCKET NO.	CONFIRMATION NO.
10/084,859	02/27/2002	Melissa W. Dunn	MS# 180490.1 (MSFT 4969)	8746
321	7590	11/30/2006	EXAMINER	
SENNIGER POWERS ONE METROPOLITAN SQUARE 16TH FLOOR ST LOUIS, MO 63102			JOO, JOSHUA	
			ART UNIT	PAPER NUMBER
			2154	

DATE MAILED: 11/30/2006

Please find below and/or attached an Office communication concerning this application or proceeding.

<b>Office Action Summary</b>	Application No.	Applicant(s)
	10/084,859	DUNN, MELISSA W.
	Examiner Joshua Joo	Art Unit 2154

-- The MAILING DATE of this communication appears on the cover sheet with the correspondence address --  
Period for Reply

A SHORTENED STATUTORY PERIOD FOR REPLY IS SET TO EXPIRE 3 MONTH(S) OR THIRTY (30) DAYS, WHICHEVER IS LONGER, FROM THE MAILING DATE OF THIS COMMUNICATION.

- Extensions of time may be available under the provisions of 37 CFR 1.136(a). In no event, however, may a reply be timely filed after SIX (6) MONTHS from the mailing date of this communication.
- If NO period for reply is specified above, the maximum statutory period will apply and will expire SIX (6) MONTHS from the mailing date of this communication.
- Failure to reply within the set or extended period for reply will, by statute, cause the application to become ABANDONED (35 U.S.C. § 133). Any reply received by the Office later than three months after the mailing date of this communication, even if timely filed, may reduce any earned patent term adjustment. See 37 CFR 1.704(b).

#### Status

- 1) Responsive to communication(s) filed on 31 August 2006.
- 2a) This action is FINAL.                            2b) This action is non-final.
- 3) Since this application is in condition for allowance except for formal matters, prosecution as to the merits is closed in accordance with the practice under *Ex parte Quayle*, 1935 C.D. 11, 453 O.G. 213.

#### Disposition of Claims

- 4) Claim(s) 3,5,6,9-13,15-19,21,29,30 and 32-37 is/are pending in the application.
- 4a) Of the above claim(s) \_\_\_\_\_ is/are withdrawn from consideration.
- 5) Claim(s) \_\_\_\_\_ is/are allowed.
- 6) Claim(s) 3,5,6,9-13,15-19,21,29,30 and 32-37 is/are rejected.
- 7) Claim(s) \_\_\_\_\_ is/are objected to.
- 8) Claim(s) \_\_\_\_\_ are subject to restriction and/or election requirement.

#### Application Papers

- 9) The specification is objected to by the Examiner.
- 10) The drawing(s) filed on 2/27/02 is/are: a) accepted or b) objected to by the Examiner.  
Applicant may not request that any objection to the drawing(s) be held in abeyance. See 37 CFR 1.85(a).  
Replacement drawing sheet(s) including the correction is required if the drawing(s) is objected to. See 37 CFR 1.121(d).
- 11) The oath or declaration is objected to by the Examiner. Note the attached Office Action or form PTO-152.

#### Priority under 35 U.S.C. § 119

- 12) Acknowledgment is made of a claim for foreign priority under 35 U.S.C. § 119(a)-(d) or (f).
- a) All    b) Some \* c) None of:
  1. Certified copies of the priority documents have been received.
  2. Certified copies of the priority documents have been received in Application No. \_\_\_\_\_.
  3. Copies of the certified copies of the priority documents have been received in this National Stage application from the International Bureau (PCT Rule 17.2(a)).

\* See the attached detailed Office action for a list of the certified copies not received.

#### Attachment(s)

- 1) Notice of References Cited (PTO-892)
- 2) Notice of Draftsperson's Patent Drawing Review (PTO-948)
- 3) Information Disclosure Statement(s) (PTO/SB/08)  
Paper No(s)/Mail Date 9/3/06, 11/3/06.
- 4) Interview Summary (PTO-413)  
Paper No(s)/Mail Date. \_\_\_\_\_.
- 5) Notice of Informal Patent Application
- 6) Other: \_\_\_\_\_.

*Response to Amendment filed 8/31/2006*

1. Claims 3, 5-6, 9-13, 15-19, 21, 29-30, 32-37 are presented for examination.

**Response to Arguments**

2. Applicant's arguments with respect to claims 3, 5-6, 9-13, 15-19, 21, 29-30, 32-37 have been considered but are moot in view of the new ground(s) of rejection.

**Information Disclosure Statement**

3. The information disclosure statement (IDS) submitted 9/31/06, 11/3/06 are in compliance with the provisions of 37 CFR 1.97. Accordingly, the information disclosure statement is being considered by the examiner.

**Claim Rejections - 35 USC § 102**

4. The following is a quotation of the appropriate paragraphs of 35 U.S.C. 102 that form the basis for the rejections under this section made in this Office action:

A person shall be entitled to a patent unless –

(e) the invention was described in (1) an application for patent, published under section 122(b), by another filed in the United States before the invention by the applicant for patent or (2) a patent granted on an application for patent by another filed in the United States before the invention by the applicant for patent, except that an international application filed under the treaty defined in section 351(a) shall have the effects for purposes of this subsection of an application filed in the United States only if the international application designated the United States and was published under Article 21(2) of such treaty in the English language.

5. Claims 5, 15, 19, 21, 29-30, 32-37 rejected under 35 U.S.C. 102(e) as being anticipated by Chen et al, US Publication #2003/0191703 (Chen hereinafter).

6. As per claim 15, Chen teaches the invention as claimed including a method of controlling access to user specific information for use in a network computer system including a web-services provider, a

user of a service provider by the web-services provider, and a client of the web-services provider, said method of controlling access to the user-specific information, Chen's teachings comprising:

operatively receiving at the web-services provider a request from the client to access the certain user-specific information in the data store wherein the web-services provider maintaining a data store of user-specific information associated with the user, said user-specific information accessible by the user and having access by the client controlled by the user, said client seeking access to certain of the user-specific information in the data store (Paragraph 0085; 0136. Client account data is stored on data aggregation system. Paragraphs 0137-0138. Web server receives request from third parties to access client account data.);

generating an intended use request by the client of the certain user-specific information in the data store (Paragraph 0138. Interested party sends login request comprising name, id, and password. Paragraph 0139. Identification/authentication used to identify intentions of accessing specific client accounts.);

determining an allowed level of access permitted by the user (Paragraph 0138. Interested party identification and authentication is stored. Paragraph 0139. Access permission page indicates client accounts accessible by requesting interested party. Paragraphs 0164; 0171. Set of client access permissions. Paragraph 0172. Select access level.);

comparing the generated intended use request with the determined allowed level of access (Paragraph 0139. Determine if interested party's identification/authentication is valid.);

invoking a consent engine in response to the client's request if the generated intended use request is outside the allowed level of access, said consent engine informing the user of the client's request to access the certain user-specific information in the data store and inviting the user to permit or to deny the client's request to access the certain user-specific information in the data store (Paragraphs 0171; 0175-0176. Client may be prompted to change (or grant) interested party access permissions.); and

completing the request from the client to access the certain user-specific information in the data store when the generated intended use request by said client of the certain user-specific information is within the determined allowed level of access by the user (Paragraph 0139. If identification/authentication information is valid, permissions page including accessible client accounts are transmitted.).

7. As per claim 29, Chen teaches the invention as claimed including a system for controlling access to user-specific information in a network computing environment, Chen's teachings comprising:

a web-services provider (Paragraph 0136. Data aggregation system.);

a user of a service of the web-services provider, the web-services provider maintaining a data store of user-specific information associated with the user (Paragraphs 0136; 0139. Client account data.), said user-specific information accessible by the user and having access by the client controlled by the user (Paragraph 0138. Interested party requests to access client account data.), and a set of default access preferences defining a list of default access permissions allowed by the user (Paragraphs 0164; 0171-0172. Access level set by client.);

a client of the web-services provider, said client generating a request to access to certain of the user-specific information associated with the user said request identifying an intended use by the client of the certain user-specific information in the data store (Paragraph 0138. Interested party sends login request comprising name, id, or password. Paragraph 0139. Identification/authentication identifies intentions of accessing specific client accounts.);

an access control engine operatively receiving the client request to access the certain user-specific information and dynamically creating an access control rule by comparing the set of default access preferences with the intended use by the client, said access control rule granting the requested access by the client to the certain user-specific information if the intended use of the client of the certain user-

specific information is within the list of default access permissions defined by the set of default access preferences allowed by the user (Paragraph 0139. If identification/authentication information is valid, permissions page including accessible client accounts are transmitted. Paragraph 0164. Access level is assign to interested party.); and

a consent engine generating an option list in response to the client's request for user-specific information having at least one entry based on the intended use by the client of the user-specific information in the data store (Paragraphs 0138; 0144. Interested party requests access client account.), said consent engine displaying on the display interface of the network communication device an option menu reflecting the generated option list, said option menu prompting the user to accept or reject at least one option displayed on the option menu using the selection interface of the network communication device (Paragraphs 0171; 0175-0176. Client may be prompted to change (or grant) interested party access permissions. Provides list of potential interested parties whom the client may choose to grant access.).

8. As per claim 5, Chen teaches the system of claim 32 wherein creating the access control rule comprises updating a list of permissions such that said list of access permissions reflects whether the user accepted or rejected the at least one option (Paragraphs 0174; 0175. Update client permission settings.).

9. As per claim 19, Chen teaches the method of claim 15 further comprising denying the client access to the requested certain user-specific information in the data store if the determined intended use is outside the allowed level of access (Paragraph 0139. If identification/authentication is valid, interested party is given access. Paragraph 0171. "no access" level.).

10. As per claim 21, Chen teaches one or more computer-readable media having computer-executable instructions for performing the method recited in claim 15 (Paragraph 0053. Data aggregation system comprises servers application software instructions.).
11. As per claim 30, Chen teaches the system of claim 29 further comprising a network communication device having a display interface and a selection menu and wherein the user communicates with the web-services provider via the network communication device (Paragraphs 0172; 0174; 0176. User selects access level with web server.).
12. As per claim 32, Chen teaches the system of claim 29 wherein the network communication device generates a selection signal indicative of whether the user accepted or rejected the at least one option displayed on the option menu (Paragraphs 0171; 0174; 0176. Grant interested party access and select access level. Send client permission settings to web server.).
13. As per claim 33, Chen teaches the system of claim 29 wherein the consent engine provides a consent signal having a parameter indicative of whether the user accepted or rejected the at least one option and wherein the access control engine receives the consent signal, said access control engine granting the requested access if the consent signal indicates that the user accepted the at least one option (Paragraphs 0171; 0174; 0176. Grant interested party access and select access level. Send client permission settings to web server.).
14. As per claim 34, Chen teaches the system of claim 33 wherein the access control engine denies the requested access if the consent signal indicates that the user rejected the at least one option

(Paragraphs 0171; 0176. Delete potential interested parties. Set “no access” level for client access permissions.).

15. As per claim 35, Chen teaches the system of claim 29 further comprising an authentication engine authenticating a digital identity of the user and wherein the access control engine denies the requested access if the digital identity of the user is not authenticated by the authentication engine (Paragraph 0139. Determine if authentication is valid.).

16. As per claim 36, Chen teaches the system of claim 29 further comprising a client intentions document identifying the intended use by the client of the user-specific information in the data store (Paragraph 0138. Request may comprise name, identification umber, or password.).

17. As per claim 37, Chen teaches the system of claim 36 further comprising:  
a network communication device having a display interface and a selection menu and wherein the user communicates with the web-services provider via the network communication device (Paragraphs 0042; 0172. Client terminal may be a web-enabled personal computer to display graphical user interface. Client user selects access level.); and

a consent engine retrieving the client intentions document and generating an option list having at least one entry therein based on the intended use identified in the intentions document, said consent engine displaying on the display interface of the network communication device an option menu reflecting the generated option list, said option menu prompting the user to accept or reject at least one option displayed on the option menu using the selection interface of the network communication device (Paragraphs 0175-0176. Client terminal displays list of potential interested parties. Client chooses to grant access.).

**Claim Rejections - 35 USC § 103**

18. The following is a quotation of 35 U.S.C. 103(a) which forms the basis for all obviousness rejections set forth in this Office action:

(a) A patent may not be obtained though the invention is not identically disclosed or described as set forth in section 102 of this title, if the differences between the subject matter sought to be patented and the prior art are such that the subject matter as a whole would have been obvious at the time the invention was made to a person having ordinary skill in the art to which said subject matter pertains. Patentability shall not be negated by the manner in which the invention was made.

19. Claims 3, 10, 13, 16-17 are rejected under 35 U.S.C. 103(a) as being unpatentable over Chen, in view of Kramer et al, US Patent #5,414,852 (Kramer hereinafter).

20. As per claims 3, 16, 17, Chen teaches of a client's request to access the certain user-specific information in the data store. However, Chen does not specifically teach the system of claim 29 wherein the client's request identifies a desired subject matter to be accessed and a method of accessing the desired subject matter and wherein comparing the set of default access preferences with the intended use by the client further comprises determining if the set of default access preferences permits the client to access the desired subject matter; and determining if the set of default access preferences permits the identified method of accessing the desired subject matter. Kramer teaches of a requesting identifying a data object, i.e. desired subject matter, and the type of access for the data object (Col 5, lines 25-31) and determining if access rules permits the identified type of access of the data object (Col 4, lines 1-5; Col 5, lines 28-34).

21. It would have been obvious to one of ordinary skill in the art at the time the invention was made to combine the teachings of Chen and Kramer because the teachings of Kramer to identify a desired subject matter to accessed and a method of accessing the desired subject matter, and determine if access rules permits the identified method of access with the desired subject matter would improve the teachings

of Chen by providing a user with additional access control of user-information including setting different types of secure access to specific information.

22. As per claim 10, Chen teaches of requesting access to user-specific information. However, Chen does not specifically teach the system of claim 29 wherein the client identifying a request form of access to the user-specific information in the data store and the access control engine granting the requested access to the certain user-specific information in the data store if the user has granted said form of access requested by the client comprises permitting the client to read the requested user-specific information in the data store and permitting the client to write the requested user-specific information in the data store. Kramer teaches of sending a request comprising a request type to a data object, wherein the data object may be any type of object, and granting the access to read the data object and write the data object (Col 2, lines 41-46; Col 4, lines 1-5, 52-55; Col 5, lines 26-41).

23. It would have been obvious to one of ordinary skill in the art at the time the invention was made to combine the teachings of Chen and Kramer because the teachings of Kramer to grant a form of access requested by the client comprising permitting a client to read the requested information and permit the client to write the requested information in the data store would improve the teachings of Chen by providing a user with additional access control of user-information including setting different types of secure access to specific information.

24. As per claim 13, Chen teaches the system of claim 29 wherein creating the access control rule to permit the client to have access to the certain user-specific information in the data store if the default access permissions permit the identified intended use comprises creating the access control rule to permit the client to read the certain user-specific information in the data store (Paragraphs 0139; 0172; 0175. User selects access level for interested party. Interested party is granted access to client account data.).

However, Chen does not specifically teach of creating the access control rule to permit the client to write the certain user-specific information in the data store. Kramer teaches of creating an access control rule to permit clients to write data objects, wherein data objects may be any type of object (Col 2, lines 42-45; Col 4, lines 1-5, 52-55).

25. It would have been obvious to one of ordinary skill in the art at the time the invention was made to combine the teachings of Chen and Kramer because the teachings of Kramer to create an access control rule to permit clients to write data objects would improve the teachings of Chen by providing additional administrative control of user-information, thus allowing a user to set various access privileges to user-information.

26. As per claim 18, Chen teaches of the method of claim 17 further comprising: creating an access filter defining an extent to which the user permits access to the type of information within the certain user-specific information in the data store; and wherein completing the request from the client to access the certain user-specific information in the data store when the generated intended use request is within the determined allowed level of access further comprises: applying the access filter to the certain user-specific information in the data store to create a filter information set; and permitting the client to access the filtered information set (Paragraph 0164. User assigns access level to a given interested party. Levels of access includes no access, summary view access, account detailed view access.). However, Chen does not specifically teach of permitting a form of access of the user-specific information in the data store. Kramer teaches of sending a request comprising a access type to a data object, wherein the data object may be any type of object, and granting the access type to the data object, e.g. read and write (Col 2, lines 41-46; Col 4, lines 1-5, 52-55; Col 5, lines 26-41).

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27. It would have been obvious to one of ordinary skill in the art at the time the invention was made to combine the teachings of Chen and Kramer because the teachings of Kramer to permit a form of access to specific information in the data store would improve the teachings of Chen by providing a user with additional access control of user-information including setting different types of secure access to specific information.

28. Claim 6 is rejected under 35 U.S.C. 103(a) as being unpatentable over Chen, in view of Ukelson, US Patent #6,338,096 (Ukelson hereinafter).

29. As per claim 6, Chen does not specifically teach the system of claim 29 wherein the client determining if the client has a local copy of the certain user-specific information in the data store before transmitting the request, the client retrieving said local copy of the certain user-specific information if the local copy is available, the client determining if said local copy of the certain user-specific information is current, and transmitting the request only if said local copy of the certain user-specific information is not available and not current. Ukelson teaches of determining if a client has a local copy of information in the data store before transmitting the request (Col 9, lines 9-14), the client retrieving the local copy of the information if the local copy is available (Col 9, lines 15-17), the client determining if the local copy of the information is current (Col 9, lines 17-24), and transmitting the request only if the local copy of the information is not available and not current (Claim 6; Col 9, lines 21-23, 35-38).

30. It would have been obvious to one of ordinary skill in the art at the time the invention was made to combine the teachings of Chen and Ukelson because the teachings of Ukelson to determine if a client has a local copy of information in the data store before transmitting the request, the client retrieving the local copy of the information if the local copy is available, the client determining if the local copy of the information is current, and transmitting the request only if the local copy of the information is not

available and not current would improve the system of Chen by reducing the transmission of data over the network and delay associated with receiving data (Col 3, line 66-Col 4, line 2), and allowing only authorized access to information on the network (Col 9, line 45-49).

31. Claim 9 is rejected under 35 U.S.C. 103(a) as being unpatentable over Chen, in view of Desai et al, US Patent #6,820,204 (Desai hereinafter).

32. As per claim 9, Chen does not specifically teach the system of claim 29 wherein the access control engine determining if the client has an access subscription right to the certain user-specific information in the data store and the access control engine permitting the client to have access to the certain user-specific information in the data store if the client has the access subscription right to the certain user-specific information in the data store. Desai teaches of registering to access user profile data, wherein registered third parties receive user profile data (Col 9, lines 1-4, 42-52).

33. It would have been obvious to one of ordinary skill in the art at the time the invention was made to combine the teachings of Chen and Desai because the teachings of Desai for registered clients to receive user information, i.e. subscribe to user information, would improve the system of Chen by allowing interested parties to receive updates to the user information and may subsequently use user information to functions such as processing electronic transactions (Col 9, lines 40-47, 53-67).

34. Claims 11-12 are rejected under 35 U.S.C. 103(a) as being unpatentable over Chen and Kramer, in view of Erickson et al, US Publication #2003/0081791 (Erickson hereinafter).

35. As per claim 11, Chen teaches of permitting the client to read the requested user-specific information in the data store (Claim 1). However, Chen does not specifically teach the system of claim 10 wherein transmitting a copy of the accessed certain user-specific information to the client in a SOAP

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message. Erickson teaches of transmitting messages according to the SOAP protocol (Page 2, Paragraph 21).

36. It would have been obvious to one of ordinary skill in the art at the time the invention was made to combine the teachings Chen, Kramer, and Erickson because the teachings of Erickson to use the SOAP protocol in sending messages would improve the efficiency of the system of Chen and Kramer by providing a simplified protocol for exchanging structured information on the web (Microsoft Computer Dictionary, Fifth Edition, 2002).

37. As per claim 12, Chen and Kramer taught of permitting the client to write certain user-specific information in the data store. However, Chen does not specifically teach the system receiving at the web-services provider a SOAP message from the client identifying the certain user-specific information and writing the identified certain user-specific information in the data store. Erickson teaches of transmitting messages according to the SOAP protocol (Page 2, Paragraph 21).

38. It would have been obvious to one of ordinary skill in the art at the time the invention was made to combine the teachings of Chen, Kramer, and Erickson because the teachings of Erikson to use the SOAP protocol in sending messages would improve the efficiency of the system of Chen and Kramer by providing a simplified protocol for exchanging structured information on the web (Microsoft Computer Dictionary, Fifth Edition, 2002).

### Conclusion

39. Applicant's amendment necessitated the new ground(s) of rejection presented in this Office action. Accordingly, **THIS ACTION IS MADE FINAL**. See MPEP § 706.07(a). Applicant is reminded of the extension of time policy as set forth in 37 CFR 1.136(a).

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40. A shortened statutory period for reply to this final action is set to expire THREE MONTHS from the mailing date of this action. In the event a first reply is filed within TWO MONTHS of the mailing date of this final action and the advisory action is not mailed until after the end of the THREE-MONTH shortened statutory period, then the shortened statutory period will expire on the date the advisory action is mailed, and any extension fee pursuant to 37 CFR 1.136(a) will be calculated from the mailing date of the advisory action. In no event, however, will the statutory period for reply expire later than SIX MONTHS from the date of this final action.

41. Any inquiry concerning this communication or earlier communications from the examiner should be directed to Joshua Joo whose telephone number is 571 272-3966. The examiner can normally be reached on Monday to Friday 7 to 4.

42. If attempts to reach the examiner by telephone are unsuccessful, the examiner's supervisor, Nathan J. Flynn can be reached on 571 272-1915. The fax phone number for the organization where this application or proceeding is assigned is 571-273-8300.

43. Information regarding the status of an application may be obtained from the Patent Application Information Retrieval (PAIR) system. Status information for published applications may be obtained from either Private PAIR or Public PAIR. Status information for unpublished applications is available through Private PAIR only. For more information about the PAIR system, see <http://pair-direct.uspto.gov>. Should you have questions on access to the Private PAIR system, contact the Electronic Business Center (EBC) at 866-217-9197 (toll-free).

November 20, 2006  
JJ